

ATTORNEY DOCKET NO. GREN.P001-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

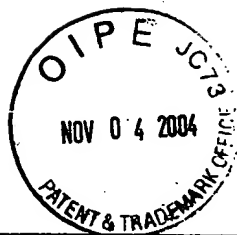
Application No: 09/682,985
Filing Date: 11/05/2001
First Named Inventor: White
Group Art Unit: 2164
Confirmation No.: 4151
Attorney Docket No. GREN.P001-2

Page 1 of 2

Examiner's Initials	US Patent Document	Name of Patentee or applicant of cited document	Date of Publication of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
	4,980,826	Wagner	25 Dec. 1990	
	4,903,201	Wagner	20 Feb. 1990	
	5,794,219	Brown	11 Aug. 1998	
	4,412,287	Braddock	25 Oct. 1983	
	3,573,747	Adams	06 April 1971	
	5,168,446	Wiseman	01 Dec. 1992	
	4,677,552	Sibley	30 June 1987	
	5,794,207	Walker	11 Aug. 1998	
	3,581,072	Nymeyer	25 May 1971	
	5,077,665	Silverman	31 Dec. 1991	
	5,136,501	Silverman	04 Aug. 1992	

FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	office	Number	Kind Code	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	Pages where relevant passages appear	T ⁶
		WO	98/10361		Walker	12 Mar. 1998		



Examiner's Initials	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS
	Document entitled "1996.12.17 prior art search part 1.doc" Print out of a Dialog search on Dec. 17, 1996
	1985: Excerpts from "Market Making and the Changing Structure of the Securities Industry"
	1990.01.19: SEC Release No. 34-27611 re Delta Government Options Corp.
	1990.10.03: Form 1 filed by Wunsch Auction Systems, Inc.
	1991.02.20: SEC Release No. 34-28899 re Wunsch Auction Systems, Inc.
	1994.10: NYSE Working Paper 94-02 titled "In Search of Liquidity: Block Trades in the Upstairs and Downstairs Markets"
	1994.11.21: Document titled "arizona stock exchange user's guide VERSION 2.1"
	1996.12.17: Document titled "1996.12.17 prior art search part 0.doc". This is a 217 page print out of a log file that was collected during an interaction with the Dialog search system on December 17, 1996. It shows both the commands that were entered into the Dialog system and the output that was received. I have not reviewed that log file in detail. I have not obtained copies of the patents identified in that log file.
	FIX Protocol Version 4.0 Release Notes (made available in January of 1997, but the date shown is January 1996), obtained from a web site
	FIX Protocol Version 4.0, obtained from a web site
	CMS Interface Standards (with a cover letter that shows that the May 1996 version was being used in April of 1997)
	Federal Express Tracking Input Page, obtained from a web site at www.fedex.com
	Federal Express Tracking Results Page, obtained from a web site at www.fedex.com

This Information Disclosure Citation List is being submitted as a substitute for Form PTO-1449. The Examiner is requested to place his or her initials on the lines adjacent to the citations to indicate that the reference has been considered. The Examiner is further requested to fill in his or her name and the date the information was considered in blocks at the bottom of this substitute for Form PTO-1449.

Examiner _____ Date Considered _____

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PATENT APPLICATION
Docket No. GREN.P001-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: White, Newton
Application no.: 09/682,985
Filing Date: 11/05/2001
Title: Exchange Method and Apparatus
Confirmation No.: 4151
Art Unit: 2164

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Applicant requests that the references cited on the attached substitute form 1449 be included in the record of the above-referenced patent application. Copies of the references are enclosed.

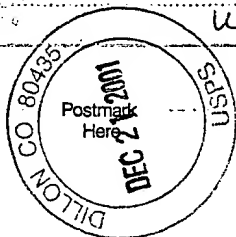
Applicant does not believe there are fees due with this submission, but the Commissioner is authorized to debit any fees deemed due from Deposit Account No. 15-0610.

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Respectfully submitted,

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I hereby certify that this paper and the attachments named herein are being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231 on 12-21-2001

12-21-2001
Date of Signature

Karen Wade
Karen Wade



2135
JFW

PATENT APPLICATION
Docket No. GREN.P-001-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: White, Jr., Newton B.
Confirmation Number: 4151
Title: Exchange Method and Apparatus

Application Number: 09/682,985
Examiner: Son, Linh L. D.
Art Unit: 2135

INFORMATION DISCLOSURE STATEMENT

It is URGENTLY requested that this IDS be considered immediately and without delay, so that we may take the examiner's findings into consideration in responding to the Office Action dated July 20, 2004. This IDS was previously submitted on December 21, 2001, and was subsequently lost by the Patent Office. Enclosed is a marked-up copy of a PAIR print-out that shows the Patent Office received this previously submitted IDS. From the present record it is clear that the previously submitted IDS should have been considered in the Office Action dated July 20, 2004. Had it been considered in this Office Action, the applicant could have taken that into account when responding to the Office Action. Copies of the (non-US Patent) references are, again, provided herewith.

No fee is believed to be due with this paper as this IDS was originally filed within three-months of the application's filing date, and at that time, we had not yet received an action on the merits. A photocopy of the previously submitted IDS cover sheet is enclosed. Should it be deemed necessary, however, the Commissioner is authorized to debit any additional fees deemed due from Deposit Account No. 15-0610.

Respectfully submitted,
OPPEDAHL & LARSON, LLP

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